County of San Luis Obispo
Probation Department

STATEMENT OF WORK – EXHIBIT F

Probation Collection Case Management System Replacement

October 8, 2013

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INTRODUCTION

This Statement of Work (SOW) describes the project objectives for the San Luis Obispo County (the "County") Probation Collection Case Management System Replacement (PC-CMSR) implementation project. This document specifies all tasks and activities for installation and support of eCourt Case Management System by Sustain Technologies, Inc. (the "System" or "eCourt") by the County and Sustain Technologies, Inc., (the "Contractor"). Functional and technical requirements are not directly addressed in this SOW. These high level requirements are provided in the Contractor's formal written response including the cost proposal to the County's RFP #1158, (the "Proposal") as submitted on February 28, 2012.

STATEMENT OF WORK

This SOW documents the high level tasks and subtasks needed to clearly define the work required to complete this project and these are included (not exclusively) in Contractor's proposed Project Implementation Agenda (Attachment #1). Detailed decomposition of the subtasks will be documented in the Project Plan during project initiation and planning. Contractor shall complete all work listed by Contractor as "F" and "CF" in the Contractor Proposal, Appendix C (Attachment #2), as subsequently modified in the Project Plan and during the business process analysis, including providing restitution functionality which calculates interest at 10% annum and added to the account upon the date of entry of the judgment or order and collection fees calculated at either 10% or 15% of restitution cases (older cases are court ordered 10% collection fee, newer cases are court ordered 15% collection fee). The County shall provide the specifications, including formats, for the reports / statistics / statistical analysis that demonstrate the County is in compliance with the requirements of PC 1463.007 – Comprehensive Collection Program: delinquent fines and forfeitures (Attachment #3 language); Training as prescribed in Attachment 4; program system to comply with the current Penal Code Section 1203.1d –distribution priority of funds collected within each case (Attachment 5 language unless modified by legislation during the implementation).

Task 1   Initiating

The Initiating phase commences upon receipt by Sustain of the signed contract. The objective of this phase is to gather or construct the necessary plans for monitoring and controlling the implementation of eCourt. This Task sets up the mechanisms which the County and Sustain will utilize to maintain governance and control of the project.

Subtask 1.1   Finalize Project Documents *(Deliverables 1 and 2)*

The County project manager to develop the following project documents and submit them for approval by the Steering Committee in order to gain authority to proceed with the project.

- **Project Concept (County Responsibility)**.

- **Project Charter (County Responsibility).**

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The County Project Manager and the Contractor Project Manager to jointly develop the following project documents:

- **Project Plan (*Deliverable 1*).** The County and Contractor shall prepare a draft Project Plan, which shall cover all tasks and subtasks outlined in this SOW, the Contractor's Proposal, and RFP #1158 including Appendices A through H.

  The Project Plan shall include an allocation of responsibilities, task descriptions and activities, target start/end dates, key milestones, responsible resources, equipment, material and dependencies. The Contractor shall maintain an up-to-date version of the Project Plan in Microsoft Project. The Contractor shall track progress and indicate task completion against the timeline. All changes to deliverable time frames must be noted on the Bi-Weekly Progress report (BWPR) (see below).

- **Bi Weekly Progress Report (*Deliverable 2*).**The Contractor and County shall jointly prepare a BWPR at least bi-weekly to report and review project status. The BWPR will outline overall project progress, critical task status (both accomplishments and delays) during the reporting period, any identified problems or issues encountered in the performance of this contract, potential actions that can resolve the problem, and a summary of the activities planned for the next reporting period. A sample BWPR is found below. All agendas and meeting materials shall be available to participants prior to the meeting and data presented will be current within no more than five (5) business days.

San Luis Obispo County Probation Collection Case Management System Replacement
Contractor Bi-Weekly Progress Report
For Period ending dd/mm/yyyy

Overall Project Status:
Provide a brief statement of the overall status of the PC-CMSR project against the tasks and schedule of the approved Project Plan.

Summary Of Accomplishments:
Provide a description of all activities performed during the reporting period.

Problem Areas:
Describe problems, issues and concerns that may impact the project. If appropriate, copies of the Problem Report/Corrective Action Log will be attached.

Policy & Management Questions:
Identify issues requiring resolution or attention.

Upcoming Activities:
Identify scheduled development activities for the upcoming reporting period.

Prepared By:
Date:

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Subtask 1.2   Initiate Project (*Deliverable 3*).

A project kick-off meeting sponsored by the County will be held at the County where roles, responsibilities, next step plans, and actions will be discussed. The Contractor will provide an overview of eCourt. Prior to the kick-off meeting the final versions of the Project Concept and Charter will be submitted for approval by the Steering Committee in order to gain authority to proceed with the project.

Task 2   **Project Team Training During Project** *(Deliverable 4)*

Contractor will demonstrate eCourt in a more detailed overview for the County project team to facilitate the development of the "as is" and "to be" documents in Task 4. Training shall be provided for each of the following functional areas during the appropriate Task:

- **Technical** – targeted at County GSA-IT and Probation Department technical staff, e.g. network, server, and database administrators, ad-hoc and standard reporting, interface developers, etc. This training includes interface and conversion instructions. These instructions shall be sufficient to allow the County technical staff to develop the internal interfaces to and from Sustain's eCourt system and participate in the conversions.
- **System Administration** – targeted at County staff performing System administration tasks.
  - Metadata (Entities, Lookup Lists, System Properties) - The metadata provides the base material for eCourt configuration. This portion of the training provides the administrator with an understanding of the eCourt database elements.
  - Forms (New Case, Header, Folder Views, Add, Open, Search; Entity and Form Validations; Conditions) – The eCourt form builder provides the toolkit that the administrator uses to consume the eCourt metadata. This portion of the training provides the administrator with a basic understanding of how to create forms that will capture and display case data to the user.
  - Security (Navigation and Security) – eCourt's security module provides the tools the administrator needs to restrict views and eCourt actions. This portion of the training provides the administrator with knowledge of how to setup security in eCourt.
  - Help – eCourt's Help Notes feature allows the administrator to create customized help notes on configurable forms. This portion of the training provides the administrator with knowledge of how to create customized help for the County.
  - Documents (Definition, Template Fields, Templates) – This portion of the training provides the administrator with a basic understanding of how to create document templates in eCourt using Microsoft Word and the eCourt template builder.
  - Calendar (Timeslots, Scheduling) – This portion of the training provides the administrator with a basic understanding of how the eCourt calendar functions, as well as the system's timeslot and scheduling features.
  - Financial & Accounting training including Fines and Fees setup and Maintenance – This portion of the training gives the administrator an understanding of the eCourt case accounting module, including set-up of the chart of accounts, ledgers, fines and fees, statutes, and how to maintain these items.

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- Checklist – eCourt provides the ability to create configurable checklists that can be automatically added to cases based on predefined criteria. This portion of the training provides the administrator with the information on how to setup desired checklists.
- Notes – eCourt's case and library notes feature allows users to create case notes and to store and categorize important content for later use.
- Directory – This portion of the training provides the administrator with the ability to setup eCourt's Directory with the County's staff list, as well as lists of people and organizations with which the County regularly interacts.
- Business Process (Business Rules, Time Standards, Workflow, Minutes)
- Reports - The Contractor will provide entity relationship training in support of the Probation Department's report building needs, and the County will create the reports.
- The Contractor will provide search training to the County.
- eCourtPublic Administration Training – This portion of the training provides the administrator with knowledge regarding how to setup and maintain the eCourt public portal.

Task 3   **Business Process Analysis Training (*Deliverable 5)*

The Contractor will provide Business Process Analysis training for the County project team to facilitate the Business Process Analysis in Task 4.   This training will start with the demonstration of eCourt in Task 2.

Task 4   **Business Process Analysis, including the Portal *(Deliverables 6 and 7).***

The business process analysis will be conducted for each of the six groups. The specifications/requirements/processes must be finalized before configuring eCourt. County will prepare the "as is" system specifications which they will use to help create the "to be" specifications which will include:

- Screen Layouts and other input items such as data entry and data updating screens;
- Output items such as Document Templates, Reports, Saved Searches, etc.;
- Process Artifacts such as Workflows, Business Rules, accounting rules;
- Determine items such as Security, Time Standards, facilities/organization/personnel, calendars/scheduling, case and hearing types, etc.

The County project team will provide the following information for each of the six groups in the "as is" system *(Deliverable 6)* and the "to be" system *(Deliverable 7)*:
- Case and referral numbering and naming conventions. Contractor to build the business rules.
- Case assignment process, weighted case assignment rules, caseload balancing policies and conflict rules
- Case initiation, data insert screen shots, and update screen shots, including decisions about the order in which the fields will appear in the eCourt configuration
- Case lookup lists that exist in the current Probation case management system (LQ) as a reference for each business unit or for the whole system
- Case information and format of cases received from other departments or agencies that also initiate cases and/or investigations

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- Any additional data elements, including person data elements required for case initiation screens
- Required fields for cases
- Case initiation validation rules and error messages
- Which case fields are confidential
- RevD data

- Information to be included on the configurable case header, including the composition of the case name for internal purposes, case summary screens for each business unit and the screen for a person centric view of all cases. Header shall include the Master Name Index (MNID) number and name with date of birth and links to joined cases.
- Folder views
    - Register of Actions, including sub-groups
    - Notification via CJIS hub of when a defendant is detained in County's Jail. Any interface that this may require will be covered under Interface Requirements and Creation – Internal.
    - Notification via an exchange between Loryx's Monitor program and the System of when a minor is detained in the County's Juvenile Hall and for the duration of the confinement. Any interface that this may require will be covered under Interface Requirements and Creation – Internal.
    - Victims

- Calendar information:
    - Which roles/individuals have calendars.
    - Information regarding the number and characteristics, if any, of time slots for each individual.
    - Information regarding scheduling procedures when hearing assignments are made on a daily basis rather than on a case assignment basis. The County project team will determine the configurable information on the individual Daily, Weekly and Monthly Agency Calendar and the Court Calendar, if desired.

- All business process information for each of the six groups, including all existing business process workflow diagrams, timeframes, notices, alerts, reports, and minutes for each case process.
    - Collection Unit staff driven events
    - Finance Unit staff driven events
    - Court driven events
    - Calendar driven events
    - Case status driven events
    - Document and work processing workflows
    - Approval authorities
    - System status, workflow and event notifications – e-mail, user dashboards/to do lists, etc.
    - FTB-CODC driven events
    - FTB-IIC driven events

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- Administrative Office of the Court (AOC) yearly Collections Reporting Template driven events
- LexisNexis interface driven events
- Third party Electronic Payments driven events

For each workflow time standard specify:

- Triggering actions/events
- Actions
- Results
- Participants
- Priorities, deadlines, escalation procedures, etc.
- Business rules
- Completion criteria and results of completion
- Results of expiring
- How the Time Standard is disabled

- An index and samples of all documents, including a description of the data that is pulled into the documents.
- Notices and documents and their templates. The County will consolidate as necessary. In addition, County will categorize them in groups, for example, Notices, Orders, etc., and classify them as outgoing (where the system generates from a predefined templates) or incoming documents (there are no predefined templates attached to them). These classifications will then be mapped into eCourt.
- Determine if Probation will accept electronic documents directly from Attorneys. (The Probation Department could then electronically view and search these documents.)
- Utilize the eCourt document management system which provides the following capabilities:
  - Store templates and generate documents.
  - Upload electronic files.
  - Use the Scan Later functionality. This feature will require the following, which will be the responsibility of the County:
    - Java 7 runtime installed on the machine of users who will be doing the scanning. eCourt will provide an applet which will be used to do the Scan Later functionality.
    - A scanner which has capability to convert to PDF and full OCR.
    - The scanner will be attached to a workstation which will put the files in a predefined location that the applet will have access to.
    - eCourt will generate a bar code which will be attached to the documents to be scanned.
  - View a document, and open the document.
  - Stamp the document with the following stamps
    - Case Number
    - User Information
    - Notes
    - Approved
    - Rejected

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Additional stamps can be created and used by the County. These are standard files which will have to be put into a predefined location for the user to use them.

Stamping functionality will only work on PDF documents and not on any other document type.

- Archive the uploaded document.
- View and download documents.

- Provide checklists and if they are to be automatically or individually assigned to cases and who can be assigned to work on each checklist.
- Case sealing requirements, including the case types requiring to be sealed.
- Timekeeping requirements.
- List of cashiers and collection case assignment process, weighted case assignment rules, caseload balancing policies and conflict rules. The Contractor shall build the assignment business rules.
- Dashboard views, including internal views and Public Portal views that will be required for the non-collections County users to access information in a read-only format. (Most of these views, which are created using pre-defined "Gadgets" (if configured in eCourt), can then be selected by each individual system user to tailor their personal dashboard. The Public Portal views will be somewhat different.)
- Views for the probationers to be able to access data via the Public Portal and to make payments. Probationers and victims will also be able to provide new contact information from the Public Portal. Probationers, parents, legal guardians and victims will be provided with a PIN to access information.
- Provide case and/or calendar-type information to place on the Public Portal.
- Suggest the format for searches desired by the department.
- An index and samples of all reports, including a description of the data being reported. Report types used and categorize these report types by consumer (outside Probation or internal use), by case type and frequency. The County project team will review and consolidate these report types as appropriate.
- Include the following alerts for use in the case header and throughout the system:
    - Staff calendar events
    - No payments received / no updated contact with offender within 'x' calendar days
    - Expiration date of case is approaching
    - Bad address entered but valid telephone number
    - Notification via CJIS hub of when a defendant is detained in County 's Jail. Any interface that this may require will be covered under subtask 10.3 Interface Requirements and Creation – Internal.
    - Notification via an exchange between Loryx's Monitor.net program and the System of when a minor is detained in the County's Juvenile Hall and for the duration of the confinement. Any interface that this may require will be covered under subtask 10.3 Interface Requirements and Creation – Internal.
    - Total dollar amount collected from FTB-CODC. Total dollar amount collected from FTB-IIC from a flexible query date and the percent from each defendant measured against all

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monies collected from FTB-CODC and all monies collected from FTB-IIC from a flexible query date.

The County and Contractor shall jointly document the business rule requirements developed in the "to-be" process including:

- Collection Officers and other assigned staff codes
- Case types and case status indicators
- Case numbering format
- Defendant, MNID, Court Case and other number formats
- Billing / Revenue distribution codes
- FTB-CODC source codes
- FTB-IIC source codes
- Signature and approval authorities
- Fees, staff reimbursement rates
- System codes, parameters, data field, etc. naming in accordance with County conventions
- Staff calendars, standard workdays, County and Federal holidays
- Document processing functions
- Word processing functions
- Scanning documents into defendant folder functions
- Finance Unit functions including Electronic Payments through a 3rd party either through FIS (has contract with SLO County) or through Sustain's Electronic Payment service provider
- Collection Unit functions
- Probation Business Manager's functions within the System
- Probation I.T. functions within the System
- Automatically calculating (at a preset time that can be changed by Probation System Administrators) how long a minor has been detained in the County's Juvenile Hall each time they are detained until they are released
- Automatically update addresses in eCourt when addresses in Monitor.net are made based upon business rules to be determined at a later date

The County project team will work with the Contractor to determine business rules for when notices, documents, case transfers to other officers or FTB-CODC / FTB-IIC are generated, and apply them to the System workflow. The County project team will also determine business rules regarding filed documents, including who reviews them, whether fees are charged, and any other related business process rules.

The Contractor and County shall then review in detail the "as is" processes to determine the processes to be automated using the System workflow. The "to be" document must contain a first draft of the use cases for testing.

The County will be the owner of the specification/requirements document and ensure all business needs are addressed.

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Task 5   **Requirements Traceability Matrix** *(Deliverable 8).*

After the completion of the "to-be" process documents, the Contractor will assist the County to develop and maintain, if desired, a Specifications/Requirements Traceability Matrix (RTM) that will list System requirements and detail how and where they are addressed during the System configuration and customization, if any. The installation tasks will be in the Project Plan which will be updated after the completion of the "as is" process. (The "to be" document should include all elements of the new configured System.)

Part One of the RTM will be a spreadsheet of all the requirements listed in the following areas:

- User Requirements
- Reporting Requirements
- Technical Requirements
- Data Conversion Requirements
- Training Requirements
- Documentation Requirements

Part Two of the RTM shall be a spreadsheet of development items such as interfaces and enhancements, if any.

Task 6   **Create Directory** *(Deliverable 9).*

Subtask 6.1   Configure Organization, Personnel and Roles

The County project team will provide information regarding (i) Probation organizational structure (divisions, departments, etc.) and (ii) personnel for both Probation and non-Probation departments, including roles (not individual job titles) for both Probation and non-Probation personnel serving the department, and ancillary data requirements for each person to be included in the Directory. Contractor will work with the County personnel who will create the Directory, load and configure the organization, personnel and role information.

Subtask 6.2   Configure Facilities

The County project team will provide the information about its facilities to the extent required for the proper use of the System. This includes information regarding County locations, floors, interview rooms, etc. Additional facility data shall be provided as needed such as resource characteristics including capacity, equipment, etc. Contractor will work with the County personnel who will load this information.

Subtask 6.3   Configure Case Types, Hearings, and other Events, etc.

The County project team will provide information regarding Probation case types and sub case types, hearings, events and other types and case phases, including trial phases, by case type and sub case type. Contractor will work with County personnel who will load this information.

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Subtask 6.4   Configure Probation Calendar Time and Holidays

The County project team will provide the Contractor information regarding County holidays, Probation Department standard working hours, and any special types of Probation business and other off time. Contractor will work with the County personnel who will load this information.

The County shall thereafter maintain the Directory information.

Task 7   Configure eCourt *(Deliverable 10).*

The "to be" system created in Task 4 will be used to guide the configuration process. The Contractor and the County shall configure the eCourt screens, workflows, documents, searches, etc. as indicated in the updated Project Plan after the completion of the business process analysis. (Most of the accounting-Type screens are not configurable.)

Using the "to be" documents, the Contractor shall create several Microsoft Word documents and templates, and the County will create the remaining. The Contractor and County shall then map variables to the system database.

The Contractor shall build a couple of the checklists including its tasks requiring filed documents that will be automatically noted as received when the documents are received, and the County will build the remaining checklists.

The County project team will provide a current "Chart of Accounts", including those for timekeeping and bank account information, and the Contractor shall load it into the System.

The County project team will provide information regarding required statutes and related restitution, fines and fees, including fees to file documents and the accounting distributions. The County will also identify and assign a resource who will work with Contractor to share the tasks of configuring and loading this information in the system, including effective/ending dates as appropriate. The Contractor and the County shall review existing restitution, fine and /or fee screens and processes. The System shall comply with all current California Code distribution requirements (PC 1203.1d) as determined by the County. RevD system will be "retired" as all of the functionality will exist in eCourt.)

The County project team with help from the Contractor will approve the accounting for each fine and fee.

The Contractor will work with the County personnel to set up the tills.

The Contractor shall configure the dashboard Gadgets pursuant to the County's requirements set forth in the "to be" analysis.

The Contractor shall configure the Public Portal pursuant to the requirements set forth in the "to be" analysis. The County will assist.

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The Contractor will provide search training to the County which will configure the searches.

The Contractor will provide entity relationship training in support of the County's report building needs, and the County will create the reports.

The Contractor shall configure the System to seal (mask) cases from view as will be described in the "to be" analysis.

The County shall thereafter maintain these configured screens, etc.

Task 8 **Establish Security** *(Deliverable 11).*

The Contractor will provide Security training to the County.

The County and the Contractor shall identify the various business process groups and roles within the Probation Department and identify the System permissions and security settings required to access system functionality needed to perform the work. Functional groups shall then be created within the System by the Contractor and shall be integrated with corresponding Active Directory Groups, developed by the County, for ease of group and user management. The County shall create individual user accounts and map those to the group(s) required to provide access to the functionality for individuals to perform their daily tasks.

The County will thereafter maintain the Security configuration.

Task 9 **Establish System Environments**

The objective of this Task is to ensure the appropriate system environments are in place. The County is responsible for providing the necessary operational computing environment including network, virtual servers, operating system software, disk arrays, SQL servers, desktop computing platform hardware and software requirements, etc., that are needed to meet the capacity and performance requirements specified by the Contractor.

Subtask 9.1   System Hardware and Related System Software Requirements *(Deliverable 12).*
Expanding on the "Hardware and Software Configuration" section provided in the Contractor Proposal, page 191, the Contractor shall update these requirements to reflect any changes in technology. These shall suffice to support the ability of County personnel to configure and install the County computing infrastructure for the System without the need of the Contractor to be present or available.

Subtask 9.2   Configure County's Computing Infrastructure *(Deliverable 13).*
Using the document provided in Subtask 9.1, County GSA-Information Technology and Probation Desktop Automation Specialist (DAS) personnel will perform the activities defined below (a through k). Once completed, the Contractor shall review and identify any deficiencies that may impact the performance of their system, and update the document created in Subtask 9.1. The County shall take remedial action to resolve any shortcomings.

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- Create VPN and remote access accounts for Contractor technical staff
- Configure server hardware and operating system
- Configure server storage arrays
- Configure Development (DEV) environment
- Configure Quality Assurance (QA) environment
- Configure Production (PRD) environment
- Configure Microsoft SQL Server(s) and database instances
- Configure Active Directory Interface
- Configure County Email system interface
- Configure Server/Operating System administration and security (system level)
- Configure end-user workstations

Subtask 9.3   Install eCourt *(Deliverable 14).*

Once the County computing infrastructure is configured and eCourt is at least partially configured (Task 7), the Contractor shall install its system software and all related components and preliminary licenses. This task will include the following activities:

- Load the System including system software and all related modules and components in the DEV, QA and PRD operating environments. (This will be done remotely and take very little time.)
- Load any third party support (i.e., database and reporting) products needed by the application unless the County has previously installed the products
- Configure Active Directory integration
- Configure System licensing
- Configure System administrators' user accounts
- Support County as it configures System backup and recovery functionality
- Coordinate with the County to complete configuration of the System application and supporting databases to meet the County Standards and the functional requirements included in the approval "to be" document.

Subtask 9.4   Test Contractor eCourt System *(Deliverable 15).*

Once installed, the County and Contractor shall test, validate and document eCourt's configuration.

- Perform installation acceptance testing to determine proper functionality. This includes tests to ensure that the software is accessible from three client workstations (County to verify the remaining client workstations).
- Demonstrate the Contractor System operates in the County Computing Infrastructure in accordance with the Contractor's System specifications.
- The County and Contractor shall report and fully document the installed eCourt software as part of the **System Certification Report (*Deliverable 16*)**. In this report, the Contractor shall address any special considerations that the County should be aware for subsequent tasks. This can include: data control, security and audit procedures; archived historical data, current data purging and data entry criteria, scheduling, special quality assurance factors and configuration control requirements.

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Subtask 9.5   Provide eCourt Documentation *(Deliverable 17).*

*T*he Contractor shall deliver System documentation on electronic media (i.e., CD-ROM or DVD) for all provided programs. Documentation shall address the normal operational functions of the software as well as backup and recovery steps and routine maintenance functions. (The permanent license keys will be delivered just prior to the go-live.) The County is permitted to copy for their internal use all documentation associated with the system. At a minimum, this shall include the following:

a) User Manual, which details the procedural steps required for the County staff to operate the software via a user's workstation for each business functional area. This will be incorporated in the online help documentation.
b) System Administrator Manual, which describes the functions to be performed by Probation Department administration personnel for developing and maintaining business processes, workflow, user accounts, permissions, etc.
c) Technical System Notes for all essential system components. This shall include documentation for the database schema, data dictionary and any table/database structure documentation, code tables, and business rules.
d) On-line help documentation. The County system administrator shall modify the help files to document system configuration and customization provided for the County. These files shall be installed on the system, and also be provided in an editable format so County personnel can update and enhance online help as necessary.

Task 10   **Develop Application Program Interfaces** *(Deliverable 18).*

This activity shall be performed in close cooperation between the Contractor and the County GSA-IT and selected Probation Department employees. The Contractor shall provide an application program interface (API) and train the County how to build and support interfaces. County staff will provide any requirements for frequency and triggering each interface and build and test the interfaces.

Subtask 10.1   API Documentation *(Deliverable 19).*

The Contractor will provide API documentation and training for each specified interface to the County.

Subtask 10.2   Interface Requirements and Creation – External Systems *(Deliverable 20).*

The Contractor and County will jointly determine the requirements for the following interfaces.

1. **FTB-CODC Franchise Tax Board Court Ordered Debt Collection Interface.** The FTB-CODC program is a bidirectional interface that collects debts ordered by a court. This includes wage garnishment due to fines, fees, penalties, bail, forfeitures and restitution. These debts are collected by account so a single person may have multiple collection accounts under this program. The frequency shall be up to daily updates from eCourt to FTB. FTB's weekly action report needs to be automatically uploaded into eCourt into the applicable case(s). FTB's administrative fees need to be automatically added (behind the scene) to each case when Probation refers a case to FTB. FTB's administrative fees need to be automatically reduced (behind the scene) to each case when Probation receives a payment from FTB-CODC, FTB-IIC or

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any other source. FTB's reconciliation report when uploaded into eCourt will flag any case that has a balance discrepancy.

2. **FTB-IIC Franchise Tax Board Interagency Intercept Collections Interface.** The FTB-IIC program is a bidirectional interface that collects debts by intercepting tax refunds, unclaimed property or California State Lottery winnings for an individual SSN. The frequency is yearly with daily updates. FTB-IIC's administrative fee needs to be added automatically to each case (not a defendant's subcase) when Probation refers a case to FTB prior to the case going to FTB-IIC. The fee will be able to be viewed by Probation / County staff who have access to the system. If the case is also out to FTB-CODC, FTB-CODC's administrative fee will not be included in the amount sent to FTB-IIC.

3. **Payment gateway interface.** County will select the payment gateway and Contractor and County will provide interface.

Subtask 10.3   Interface Requirements and Creation – Internal Systems *(Deliverable 21).*

The County will determine the requirements for the following interfaces, and will build and test them. The Contractor will support the County in the use of the API.

1. **Probation Case Management (Monitor) Interface.** This interface performs a nightly export of info from the eCourt system to the Probation Case Management (Monitor) system.
2. **Auditor SAP Interface**. This bidirectional interface includes exporting warrants or refunds from the eCourt system to the County of San Luis Obispo Auditor as well as the import of unclaimed warrants into the Probation Collection System (LQ). The frequency is daily and weekly.
3. **NSF Check Processing Interface**. This interface is an import into the eCourt system from the County of San Luis Obispo Treasurer of any NSF checks. The frequency is on request.
4. **Drug and Alcohol Fees Interface**. This interface is an import into the eCourt system from the Drug and Alcohol department. The frequency is on request.
5. **Public Defender Recovery (LQ80) Fees Interface**. This interface is an import of defendant related info into the eCourt system from the courts. The frequency is on request or automatic data import base on pre-defined business rules.
6. **CJIS Client and Address Information Interface.** This interface is to obtain client information and address updates from Probation's Monitor system. The client information and address update interface consists of an xml data exchange processed by the San Luis Obispo County CJIS hub and can be routed to additional systems as needed. It is preferred that the County will map to the existing schema.
7. **CJIS Docket Entry Interface.** This interface is to bring San Luis Obispo County Superior Court docket entries into eCourt via CJIS hub.

Subtask 10.4   Interface Test Plan *(Deliverable 22).*

County will develop an Interface Test Plan. The test plan will include testing methodology and the acceptance criteria used to determine County approval of the interface development tasks. The County shall conduct end-to-end tests.

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Subtask 10.5 Interface Test *(Deliverable 23).*

County will test the interfaces, and Contractor will support.

Task 11   **Data Conversion *(Deliverable 24).***

The County and the Contractor shall convert and transfer all data of non-closed cases and all cases that have been closed since 01/01/2009 from the County legacy (LQ) system to the System, including the current balance, payment and adjustment history, and Notes sections of all migrated cases from the LQ Micro Focus system into the new System. This also includes the distribution history of each payment and adjustment into various codes. (There are approximately 45 tables with approximately 650 fields in the eCourt database, into which the 19 LQ tables with 249 fields must be converted.)

Conversion Constraints
- The primary key to each source table will be provided to ATI and the county will transfer the legacy data to a common database system from which the Contractor will insert it into eCourt.
- No data will be reformatted with the exception of data type format changes between the two systems (e.g. Dates as 20120712 to 07/12/2012)
- ATI will convert whole tables at a time (e.g. All COURT_CASE_DEF records will be converted, then all CASE_ACTIVITY records) – ATI and County will determine the order of conversion for the tables to be converted
- All converted tables must fall into one of three categories:
  - One-to-One correlation, which is defined as follows:
    Table is equivalent to a table in eCourt and that table is used only for this purpose
    All fields in this table are stored in the same table in eCourt (no splitting tables into two or more eCourt table entries)
  - One-to-many correlation, which is defined as follows:
    Table is equivalent to multiple tables in eCourt.
  - One-to-Subset correlation, which is defined as follows:
    Record is stored in a table that is used for more than one purpose (a BOOKING is stored in an Event table, but not all Events are bookings)
    Record must be defined as an entry in a given table with one or more fields set to a constant value (a BOOKING is a CaseEvent with the CategoryCode field set to ??)
    All fields in this table are stored in the same table in eCourt (no splitting tables into two or more eCourt table)
- ATI will insert records directly into the eCourt database using SQL to conduct the conversion
- County will verify conversion of the database after each test conversion and the final conversion
- County will provide a Windows environment which has access to the Source database and to the eCourt database on which to develop and execute the conversion program
- Journal Fund Distribution (the Distribution):
  - ATI will check that cases meet the Distribution criteria (TBD)
  - Cases with financial records will have funds distributed appropriately through the mapping
  - The distribution will be run as part of the data conversion

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- o The source data will provide logic for the distribution of funds into the GL accounts
  - o Source data will tell us how items have been split up
  - o The data mapping will tell us where to insert the data
  - o ATI assumes that the distribution of funds will operate on the case number against all open items for that case
  - o ATI will handle the assignment of journal entries to open items as part of the data import
- The distribution of funds will be run as part of the process handled for data conversion
- Criteria for the timing of importing of data for historical and current cases to be determined during scheduling of work

Subtask 11.1 Snapshot Existing Data

The County shall provide the Contractor with an extract of all legacy data to SQL Server. The extract process will be repeatable and may be requested multiple times by the Contractor. The format and delivery mechanism will be determined by Contractor and the County. The County will also provide to the Contractor file record layouts indicating field size, type, and the business use for each field, and how the business use has changed through time. The Contractor shall prepare the data migration specifications and tools, including data mapping, cleansing capabilities, error reporting and documentation.

Subtask 11.2 Data Mapping

The Contractor will work with the County to create a data mapping document that includes, logic, and System destination in the user interface. The County will review and when the requirements are correct will approve the requirements.
- Sustain will work with County to determine the configuration of the database, create code tables, and determine how customer data is going to be stored.
  - o Documentation of the configuration will be provided to ATI by the Contractor
- Sample records of each type will be created in the database
  - o ATI will have access to the sample records through the eCourt application and to the database.
- ATI will create a data mapping spreadsheet mapping the customer data to eCourt fields.
  - o During this time, ATI will work with the customer to determine exactly how the data is stored in the source database.
  - o Sustain will be available as a resource during this process, but ATI will take the lead.
- During the data mapping process, ATI will attempt to identify one-to-one relationships. If acceptable mappings cannot be determined, the customer will be given the option of either:
  - o Adding the source data to Notes field.
  - o Having ATI quote additional hours for more complicated conversion.

Subtask 11.3 Validate and Refine results

Working together, the County SME's and the Contractor shall examine the conversion results using the Contractor's data validation sheets for accuracy and completeness. Errors and deviations shall be noted by the County, and the Contractor shall modify their data conversion tool and mapping schema accordingly. Subsequent data conversions shall be run and the process repeated until conversion is

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complete, error-free, and accepted by both the Contractor and the County. The conversion tool will be installed on the County servers (County will remove the tool when the conversion process is complete).

Subtask 11.4   Run Additional Conversion Cycles

The County will run additional conversion cycles in-house as needed using the Contractor-provided and –configured tool.

Subtask 11.5   Support the Development Environment

The Contractor shall load the output of the data conversion task first into the County's Development (DEV) environment established on one of its virtual servers. The purpose is twofold; a) to support the data conversion quality assurance effort in Subtask 11.3 and, b) provide baseline data for system development, training, and early testing.

Subtask 11.6   Perform Final Data Conversion (see Go-Live)

Immediately prior to system Go-Live, County activities will cease on the legacy platforms and the data will be frozen. The County shall take a final data snapshot in the legacy system, the Contractor shall convert it, and Contractor shall load it onto the new County PRD system in preparation for switch over to the new platform.

County will conduct testing after final go live data conversion to confirm accuracy. Contractor will support the County during this effort.

Task 12   **Closed Cases**

On the first business day of each calendar year the eCourt system will produce an electronic report viewable based upon security clearance displaying all cases that have been closed for more than 5 years. (The electronic report will be able to be printed by staff at the SLO County Probation Department based upon security clearance). The person(s) viewing the electronic report will be provided a check box to the far left by each case number and another check box at the top of the column that reads, "check all". The cases that are checked will then have all the information for that case deleted except for the financial information contained in the case which will not be deleted.

Task 13   **Perform System Test and Acceptance**

The County shall lead all system test activities. Contractor shall be active participants in all formal testing activities, beginning at the unit and module level and progressing through full system testing and the final acceptance test. The Contractor and the County shall jointly schedule all formal test activities.

Subtask 13.1   Develop Test Framework *(Deliverable 25).*

The Contractor and County shall develop and document a test framework. The framework will outline (i) basic system functional testing that the Contractor will perform and (ii) business process testing that the County will perform.

The County test plan will ensure that all services, deliverables, and documents called for under this contract meet County and contract requirements prior to delivery to the County. Working with Contractor, the County shall develop a Test Plan that describes the methodology and approach that will be used by the County to validate that the system meets all the Contract requirements as modified during the implementation process outlined in the Statement of Work. The Test Plan shall document test activities, describe the roles and responsibilities of each participant, and shall reference the specific test procedures. The Test Plan shall also document how the County plans to verify that all key functionality (including interfaces) are tested against the County approved "as is" document or the Requirements Traceability Matrix, how problems are documented and tracked through the correction and retesting steps, and how the test results will be reported.

Subtask 13.2   Develop Test Procedures *(Deliverable 26).*

Working together, the County and Contractor shall develop test procedures for each test activity. Test procedures shall identify each discrete event/step to be accomplished in the test activity and shall tie directly to the RTM, ensuring that functionality for each requirement is validated and accepted by testing. The sequence of events shall also be specified to ensure proper verification. Each procedure shall identify who is responsible for executing the event, exactly what actions/processes are involved, how the event will be documented, and the required outcome. ***The County must review and accept all Test Procedures prior to test performance***.

Subtask 13.3   Perform System Testing (*Deliverable 27*).

The Contractor shall participate actively in all formal system and integration testing. County staff will conduct formal testing and document test results and problems encountered using the Test Plan and QA site loaded with converted data provided by the Contractor. The goal of user testing activities is to ensure that each system function operates properly and that overall system performance is acceptable. The Contractor shall assist in determining whether any problems encountered are due to software malfunctions, problems with table data or test data, technical infrastructure, procedural issues, or user training issues. The Contractor shall make available the appropriate engineering staff during formal testing to support trouble-shooting, explain nuances of system design, and help implement quick fixes where appropriate. The County may request that Contractor personnel, thoroughly familiar with the system, be immediately available during the final system and integration test, and possibly during the User Acceptance testing.

The Contractor and County, as needed, shall update the appropriate Test Plan impacted by changes in system requirements. In the event that modifications or changes to the Contractor's software are identified during testing, these modifications or changes will be treated in accordance with the project change control processes. (Change control is not needed for bug fixes or meeting the stated requirements, change control is only needed for enhancements and changes to the requirements.) County and Contractor staff shall re-test the System's functions that failed the first round of testing to determine that the functions work properly. The testing/software modification/re-testing process will be repeated until no significant software malfunctions exist. User acceptance testing will be performed in the QA environment and must be successfully completed and accepted by the County for each increment prior to the system being placed in the PRD environment.

Subtask 13.4   System Test Report *(Deliverable 28).*

The Contractor will maintain an issue tracking system which shall provide an Issues Report which contains a detailed listing of issues and their status. The Contractor shall certify that all significant deficiencies have been resolved and the software is ready for production use.

Subject to County written approval, resolution of minor unresolved deficiencies may be deferred until after system go-live. Such deficiencies must be documented in a System Test Report with an agreed resolution plan and fix-by date.

Task 14   **User Training** *(Deliverable 29).*

Subtask 14.1   Develop User Training Plan

The County will develop the user training plan. This plan is specific to the users' processes and will change organically after the system is in production, thus this requires County ownership.

Subtask 14.2   County User Training

County will deliver End User Training as close to go live as possible.
- **General system** – These sessions will give all users an overview of the entire System, including document management system, and will cover general process topics including case headers, case summary, other folder views, workflow tasks, dashboard, searches, calendaring and scheduling, reports, case notes, document processing, and case document management access.
- **Specific Functional Areas** – These focused sessions will give specialized training to targeted user groups for particular process areas, including:
    - Interfacing reports from Contractor's system to County's EFS system
    - Triggering data exchanges (for technical staff to conduct integration testing)

Subtask 14.3   Contractor Training for Collection and Finances (*Deliverable 30).*

Contractor, with assistance from the County, will provide training for all Probation Department Collection and Finance Units staff. (Much, if not all, of this training will be done when the configuring the financial requirements.)

Task 15   **Perform Go-Live Activities**

The Contractor shall support end-to-end System testing by the County. This will entail the final cutover from all the functionality in the County legacy system(s) to that provided by the Contractor's System along with all specified interfaces.

Subtask 15.1   Develop Go-Live Plan (*Deliverable 31***).**

The County, with the Contractor's assistance, shall develop a Go-Live plan to document the steps and procedural sequences required to transfer operations from the legacy systems to the new system. The Go-Live plan shall document all prerequisites, go-live tasks, identify key personnel required to perform and validate go-live activities, and will provide a detailed timeline for go-live task execution. County and

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Contractor approval of the Go-Live Plan is required prior to the execution of Go-Live activities. The following major go-live steps have so far been identified:

- Perform final training
- Suspend activities on current system
- Perform back-up of data
- Perform final data conversion
- Transfer operations to new system
- Conduct additional training if required
- Contractor and County to perform end to end System testing

Subtask 15.2   Conduct a Dry-Run of Go-Live (*Deliverable 32).*

The Contractor and County shall jointly participate in a dry-run of the Go-Live plan activities as defined by the Go-Live plan, executing all steps on the checklist for Go-Live with the exception of the final cutover to production. During the dry-run, the Contractor and County shall document any deficiencies requiring a change to the activities listed in the Go-Live plan, and subsequently update the Go-Live plan to correct any deficiencies. Following the dry-run, the County and Contractor shall review the updated Go-Live plan to determine Go-Live readiness and agree in writing to proceed with Go-Live.

Subtask 15.3   Conduct Go-Live (*Deliverable 33*).

The Contractor and County shall jointly participate in all Go-Live activities as defined by the final Go-Live plan, executing all steps on the checklist for Go-Live through and including the go/no-go decision. Should the decision by the County be not to Go-Live, the County will document the decision and the backup plan steps shall be executed. The Contractor and County shall then plan next steps to remedy the reason(s) for the no-go decision, the Contractor and the County shall update the Go-Live plan if needed, and a new date for Go-Live shall be chosen by written agreement between Contractor and County. This step shall repeat until the County succeeds to Go-Live.

As part of the Go-live strategy, Contractor shall provide technical support for two weeks prior to and two weeks following the Go-Live date Monday through Friday from 7 am to 6 pm PST excluding Federal and State holidays, if needed.

Task 16   **Perform Post Implementation Review** *(Deliverable 34).*

The Contractor and County shall jointly participate in a post-implementation project review. County shall schedule and facilitate this meeting. During this meeting the following topics will be discussed:

- Brainstorm and document lessons learned
- Review post-implementation bugs and deficiencies
- Review plan to resolve bugs and deficiencies
- Review plans for on-going support and maintenance

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Table 1 -- List of Deliverables

Number	Description	Contractor	County	Both
1	Project Plan			X
2	Bi-Weekly Progress Report (BWPR)			X
3	On-Site Project Initiation Kick-off Meeting			X
4	Project Team Training During Project	X		
5	Business Process Analysis Training	X		
6	Business Process Analysis including Portal (As Is)		X	
7	Business Process Analysis including Portal (To Be)			X
8	Requirements Traceability Matrix			X
9	Create Directory			X
10	Configure eCourt			X
11	Establish Security			X
12	Update System Hardware and Related System Software Requirements	X		
13	Configure County's Computing Infrastructure		X	
14	Install eCourt	X		
15	Test Contractor eCourt System			X
16	System Certification Report			X
17	Provide eCourt Documentation	X		
18	Develop Application Program Interfaces			X
19	Provide API Documentation and Training	X		
20	Interface Requirements and Creation – External Systems			X
21	Interface Requirements and Creation – Internal Systems			X
22	Interface Test Plan		X	
23	Interface Test			X
24	Data Conversion			X
25	Develop Test Framework			X
26	Develop Test Procedures			X
27	Perform System Testing			X
28	System Test Report	X		
29	Conduct User Training		X	
30	Conduct Training for Collection and Finances			X
31	Develop Go-Live Plan			X
32	Conduct a Dry-Run of Go-Live			X
33	Conduct Go-Live			X
34	Perform Post Implementation Review			X

COMPENSATION

1.   Maximum Compensation Amount for Implementation and Potential Customization

The maximum amount of this contract for implementation and potential customization that is beyond the scope of the Request for Proposal shall not exceed $ 281,292 ($246,292 for implementation plus allowance for hourly professional services on demand up to $35,000) plus applicable taxes.   This does not include the yearly license and support fees.

2.   Billing

Contractor shall submit itemized invoices to the County for the System installation, implementation, and training services delivered according to the Invoice Schedule and Payment Milestones below.

County shall provide Contractor with a written notice of completion when the County determines that a deliverable has been satisfactorily completed. After the County has provided notice of completion, Contractor shall submit itemized invoices to the County for the completed, approved deliverable(s). The County will pay the approved amount within thirty (30) calendar days of receiving an approved invoice.

For purposes of billing, the "deliverables" shall be as described in Table 1, List of Contractor Deliverables, of Exhibit "F" 'Statement of Work' above.

Contractor agrees to provide services not to exceed the rate of $150 per hour upon request of the County for approved changes/additions within County's approved project budget. Contractor rates must remain constant at these rates for the duration of this contract.

If, due to either an issue with the charges on an invoice or Contractor's failure to perform its obligations under this contract, the County disputes any charge(s) on an invoice, the County may withhold the disputed amount, provided there is a reasonable basis for the dispute, and all other amounts that are not in dispute are paid for. The County will pay for the products and services that are undisputed within thirty (30) calendar days of receiving the invoice.

3.   Invoice Schedule and Payment Milestones

Contractor will be paid based on completion and County acceptance of key project milestones. Each payment milestone will represent a percentage of total Contract costs (excluding support and maintenance costs) minus a 10% hold back amount. Ninety calendar days after the start of the warranty period, County will pay Contractor the final 10% payment.

Contractor shall submit invoices to the County according to the following schedule of milestone payments.

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Table 2- Milestone Payment Schedule

Milestones / Payments		Costs	Payable	Percentage of Total Professional Services	Retained Percentage
Professional Services payable at Go Live		$150,000	**$135,000**	90%	10%
Professional Services payable 90 days after Go Live			$15,000		
	Subtotal	**$150,000**			
Third Party Data Conversion payable upon County Acceptance of the Data Conversion		$96,292	**$96,292**		
	Total – One time implementation costs	$246,292	**$246,292**		
Software Licensing					
SL1	Annual license fee for 34 named users and additional user licenses for unlimited use by the public and non-agency governmental users for first 5 years – to be adjusted after first 5 years.	$50,000	Upon Completion/ Acceptance This is paid before Go-Live.	100%	
SL2	First year annual support fee for eCourt	12,500			
Total – Annual Licensing Fee for first year – Annual Support Fee for eCourt will be reviewed and adjusted after the first year.		**$62,500**			

Compensation

Contractor agrees that County's sole obligation with respect to payments for the Software Products referenced above is to pay Contractor for undisputed amounts invoiced under this Contract and that Contractor shall have the sole obligation to pay any third party any amounts due them in connection with products or services delivered under this Contract. Subject to County's payments hereunder, Contractor shall pay all such amounts as they become due.

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